ELECTRONIC APPLICATION INSTRUCTIONS for 2016-NIST-SBIR-01

This document consists of four important sections:

1) Overview;
2) Required Forms and Documents;
3) Application Submission Process; and
4) Verifying the Submission and Tracking the Application.

1) Overview

NIST strongly recommends that applicants do not wait until the last minute to submit an application. NIST will not make allowance for any late submissions. To avoid any potential processing backlogs due to last minute Grants.gov registrations, applicants are highly encouraged to begin their Grants.gov registration process early.

When developing your submission timeline, please keep in mind that (1) all applicants are required to have a current registration in the System for Award Management (SAM.gov); (2) the free annual registration process in the electronic System for Award Management (SAM.gov) (*see* Section 6.03.(2).b. of the Full Announcement/FFO document) may take between three and five business days or as long as more than two weeks; and (3) electronic applicants are required to have a current registration in Grants.gov; and (4) applicants using Grants.gov will receive a series of e-mail messages over a period of up to two business days before learning whether a Federal agency's electronic system has received its application. **Please note that a federal assistance award cannot be issued if the designated recipient's registration in the System for Award Management (SAM.gov) is not current at the time of the award. Electronic applicants will find instructions on registering with SAM.gov as part of the Grants.gov process at: http://www.grants.gov/web/grants/applicants/organization-registration.html .**

All applicants should be aware that adequate time must be factored into an applicant's schedule for delivery of the application.

Submitters of electronic applications are advised that volume on Grants.gov may be extremely heavy leading up to the deadline date, and if Grants.gov is unable to accept applications electronically in a timely fashion, applicants are encouraged to exercise their option to submit applications in paper format. Submitters of paper applications should

allow adequate time to ensure a paper application will be received on time, taking into account that Federal Government security screening for U.S. Postal Service mail may delay receipt of mail for up to two (2) weeks and that guaranteed express mailings and/or couriers are not always able to fulfill their guarantees.

2) Required Forms and Documents

Electronic applications must be submitted via Grants.gov at www.grants.gov, under announcement 2016-NIST-SBIR-01.

A complete application contains the Technical Proposal elements described in Section 3.02 and the following forms and documents:

(1) **SF-424, Application for Federal Assistance.** The SF-424 must be signed by an authorized representative of the applicant organization.

SF-424, Item 12, should list the FFO number 2016-NIST-SBIR-01.

For SF-424, Item 21, the list of certifications and assurances is contained in the SF-424B.

(2) **SF-424A, Budget Information – Non-Construction Programs.** The Grant Program Function or Activity on Line 1 under Column (a) should be entered as Science, Technology, Business and/or Education Outreach. The Catalog of Federal Domestic Assistance Number in on Line 1 under Column (b) should be entered as 11.620.

(3) **SF-424B, Assurances - Non-Construction Programs.**

(4) **CD-511, Certification Regarding Lobbying.**

(5) **SF-LLL, Disclosure of Lobbying Activities (if applicable).**

(6) *Technical Proposal,* including forms and documents described in Section 3.02 of the Full Announcement/FFO document. ***Be sure to read all of Section 3.02 very carefully. Use the Cover Sheet found in Appendix A of the Full Announcement/FFO document as pages 1 and 2 of the Technical Proposal, and follow the guidance regarding the Technical Content.***

(7) **Budget Narrative.** There is no set format for the Budget Narrative; however, it should provide a detailed breakdown of each of the object class categories as reflected on the SF-424A. Provide enough information to allow NIST to understand how funds will be used and clearly

demonstrate that proposed costs fall within the spending limitations specified in Section 1.03 of the Full Announcement/FFO document. (For Phase I, a minimum of two-thirds of the research and/or analytical effort must be performed by the awardee. The total cost for all consultant fees, facility leases, usage fees, and other subcontract/subaward or purchase agreements may not exceed one-third of the total award. For Phase II, a minimum of one-half of the research and/or analytical effort, per Section 1.03, must be performed by the applicant. The total cost for all consultant fees, facility leases, usage fees, and other subcontract/subaward or purchase agreements may not exceed one-half of the total award.)

The proposed budget should reflect planned costs, but the awardee must charge actual costs to the award consistent with cost principles applicable to the type of awardee in accordance with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 C.F.R. Part 200, which apply to awards in this program. More information is available at http://go.usa.gov/SBYh and http://go.usa.gov/SBg4. The awardee should have an accounting system that tracks costs per SBIR firm and an allocation plan for activities that may be shared among multiple SBIR firms.

(8) Indirect Cost Rate Agreement. NIST will not negotiate indirect cost rates for Phase I awards. If indirect costs are included in the proposed budget, provide a copy of the current, approved negotiated agreement if this rate was negotiated with a cognizant Federal audit agency. If a rate has not been established, provide a statement to this effect. Applicants without an established rate, may propose estimated indirect costs at a rate not to exceed 40 percent of the total direct costs and will not be required to provide further justification if selected for an award.

(9) SBA Company Registry Form. SBA maintains and manages a Company Registry at http://www.sbir.gov/registration to track ownership and affiliation requirements for all companies applying to the SBIR Program. The SBIR Policy Directive requires each Phase I and Phase II applicant to register in the Company Registry prior to submitting an application. The applicant must save its information from the registration in a .pdf document and attach this document to the SF-424 as described below.

(10) Data Management Plan. In accordance with the Office of Science and Technology Memorandum for the Heads of Executive Departments and Agencies of February 22, 2013[1], *Increasing Access to the Results of Federally Funded Scientific Research*, and as implemented through NIST

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[1] https://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf

Policy 5700.00[2], *Managing Public Access to Results of Federally Funded Research,* and NIST Order 5701.00[3], *Managing Public Access to Results of Federally Funded Research*", applicants should include a Data Management Plan (DMP).

The DMP is a supplementary document of not more than two pages that must include, at a minimum, a summary of proposed activities that are expected to generate data, a summary of the types of data expected to be generated by the identified activities, a plan for storage and maintenance of the data expected to be generated by the identified activities, and a plan describing whether and how data generated by the identified activities will be reviewed and made available to the public. As long as the DMP meets these NIST requirements, it may take the form specified by the applicant's institution or some other entity (e.g., the National Science Foundation[4] or the National Institutes of Health[5]). Some organizations' templates are available on the Internet[6].

All applications for activities that will generate scientific data using NIST funding are required to adhere to a DMP or explain why data sharing and/or preservation are not within the scope of the project.

For the purposes of the DMP, NIST adopted the definition of "research data" at 2 C.F.R. § 200.315(e)(3) (available at http://go.usa.gov/3sZvQ)

Reasonable costs for data preservation and access may be included in the application.

The sufficiency of the DMP will be considered as part of the administrative review (*see* Section 4.02. of the Full Announcement/FFO document); however, the DMP will not be evaluated against any evaluation criteria.

If submitting the application electronically via Grants.gov, items (1) through (5) above are part of the standard application package in Grants.gov and can be completed through the download application process**.**

Items (6) through (10) must be completed and attached by clicking on "Add Attachments" found in item 15 of the SF-424, Application for

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[2] http://www.nist.gov/open/upload/Final-P-5700.pdf
[3] http://www.nist.gov/open/upload/Final-O-5701_0.pdf
[4] http://www.nsf.gov/bfa/dias/policy/dmp.jsp
[5] http://grants.nih.gov/grants/policy/data_sharing/data_sharing_guidance.htm#inc
[6] https://www.cic.net/projects/technology/shared-storage-services/data-management-plans

Federal Assistance. This will create a zip file that allows for transmittal of the documents electronically via Grants.gov.

Applicants should carefully follow specific Grants.gov instructions at www.grants.gov to ensure the attachments will be accepted by the Grants.gov system. **A receipt from Grants.gov indicating an application is received does not provide information about whether attachments have been received.**

3) Application Submission Process

a) Submitters of electronic applications should carefully follow specific Grants.gov instructions to ensure the attachments will be accepted by the Grants.gov system. A receipt from Grants.gov indicating an application is received does not provide information about whether attachments have been received. For further information or questions regarding applying electronically for the 2016-NIST-SBIR-01 announcement, contact Christopher Hunton by phone at 301-975-5718 or by e-mail at grants@nist.gov.

b) Applicants are strongly encouraged to start early and not wait until the approaching due date before logging on and reviewing the instructions for submitting an application through Grants.gov. The Grants.gov registration process must be completed before a new registrant can apply electronically. If all goes well, the registration process takes three (3) to five (5) business days. If problems are encountered, the registration process can take up to two (2) weeks or more. Applicants must have a valid unique entity identifier number and must maintain a current registration in the Federal government's primary registrant database, the System for Award Management (https://www.sam.gov/), as explained on the Grants.gov Web site. *See also* Section 8.02 of the Full Announcement/FFO document. After registering, it may take several days or longer from the initial log-on before a new Grants.gov system user can submit an application. Only authorized individuals(s) will be able to submit an application, and the system may need time to process a submitted application. Applicants should save and print the proof of submission they receive from Grants.gov. If problems occur while using Grants.gov, the applicant is advised to (a) print any error message received and (b) call Grants.gov directly for immediate assistance. If calling from within the United States or from a U.S. territory, please call 800-518-4726. If calling from a place other than the United States or a U.S. territory, please call 606-545-5035. Assistance from the Grants.gov Help Desk will be available around the clock every day, with the exception of Federal holidays. Help Desk

assistance will resume at 7:00 a.m. Eastern Time the day after Federal holidays. For assistance using Grants.gov, you may also contact support@grants.gov.

c) To find instructions on submitting an application on Grants.gov, Applicants should refer to the "Applicants" tab in the banner just below the top of the www.grants.gov home page. Clicking on the "Applicants" tab produces two exceptionally useful sources of information, Applicant Actions and Applicant Resources, which applicants are advised to review.

Applicants will receive a series of e-mail messages over a period of up to two business days before learning whether a Federal agency's electronic system has received its application. Closely following the detailed information in these subcategories will increase the likelihood of acceptance of the application by the Federal agency's electronic system. Applicants should pay close attention to the guidance under "Applicant FAQs," as it contains information important to successful submission on Grants.gov, including essential details on the naming conventions for attachments to Grants.gov applications.

4) Verifying the Submission and Tracking the Application

The Grants.gov Online Users Guide available at the Grants.gov site (http://go.usa.gov/cjaEh) provides vital information on checking the status of applications. See especially the "Check My Application Status" option, found by clicking first on Applicants, and then by clicking on Applicant Actions.

The application must be both received and validated by Grants.gov. The application is "received" when Grants.gov provides the applicant a confirmation of receipt and an application tracking number. If an applicant does not see this confirmation and tracking number, the application has not been received. After the application has been received, it must still be validated. During this process, it may be "validated" or "rejected with errors." To know whether the application was rejected with errors and the reasons why, the applicant must log in to Grants.gov, select "Applicants" from the top navigation, and select "Track my application" from the drop-down list. If the status is "rejected with errors," the applicant may still seek to correct the errors and resubmit your application before the deadline. If the applicant does not correct the errors, the application will not be forwarded to NIST by Grants.gov.

NIST uses the Tracking Numbers assigned by Grants.gov, and does not issue Agency Tracking Numbers.